

Figure 1

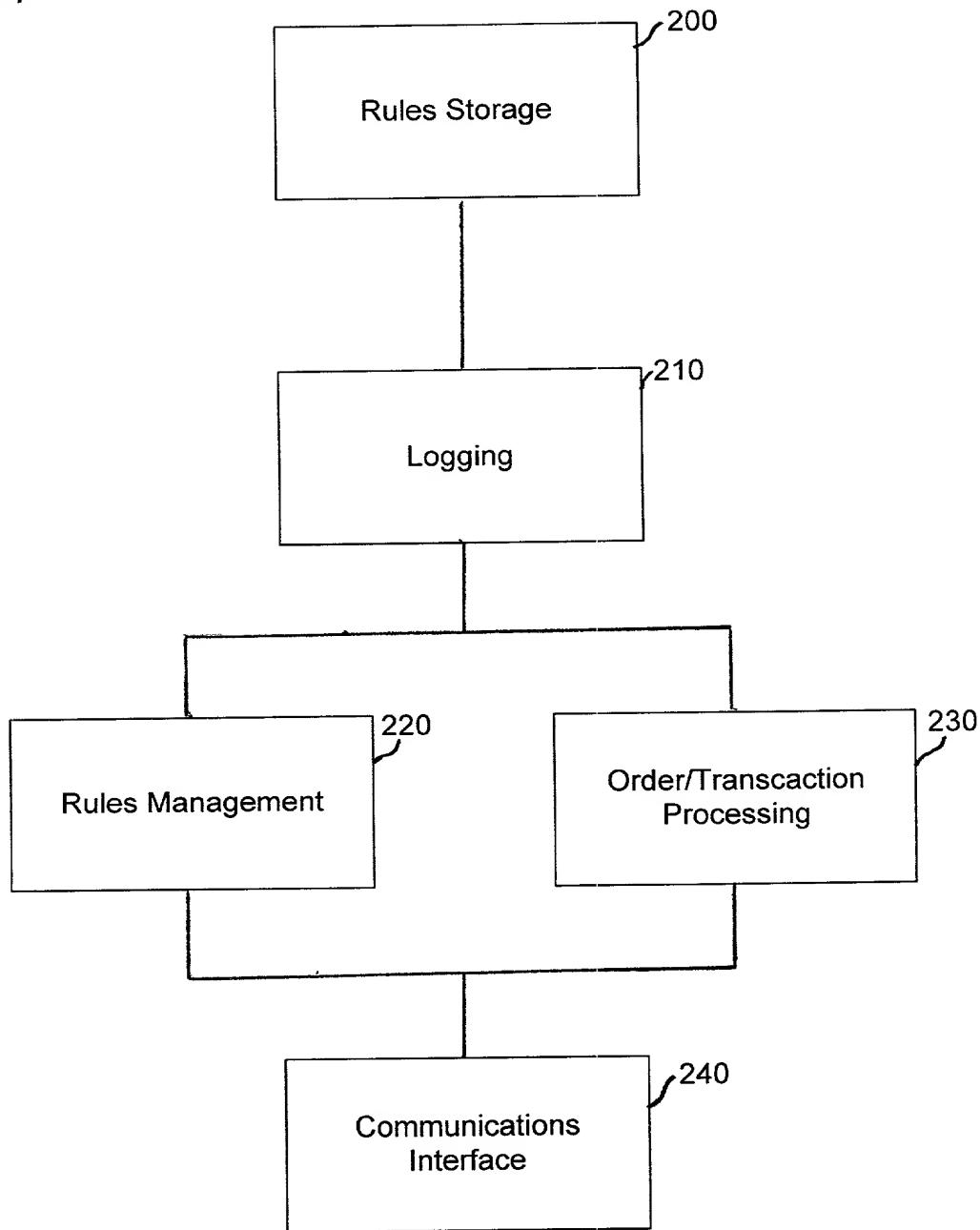


Figure 2

Example:

<u>Number</u>	<u>Type</u>	<u>Possible Level(s)</u>	<u>Possible Outcome(s)</u>
1011	Mandatory	Firm	Stop

This rule stops an order for an account that is closed.

Figure 3A

Example:

<u>Number</u>	<u>Type</u>	<u>Possible Level(s)</u>	<u>Possible Outcome(s)</u>
1141	Optional	Firm Office Investment Professional Account	Stop Approval Warning Acceptance

This rule indicates that an order has been placed which exceeds a credit limit parameter

Figure 3B

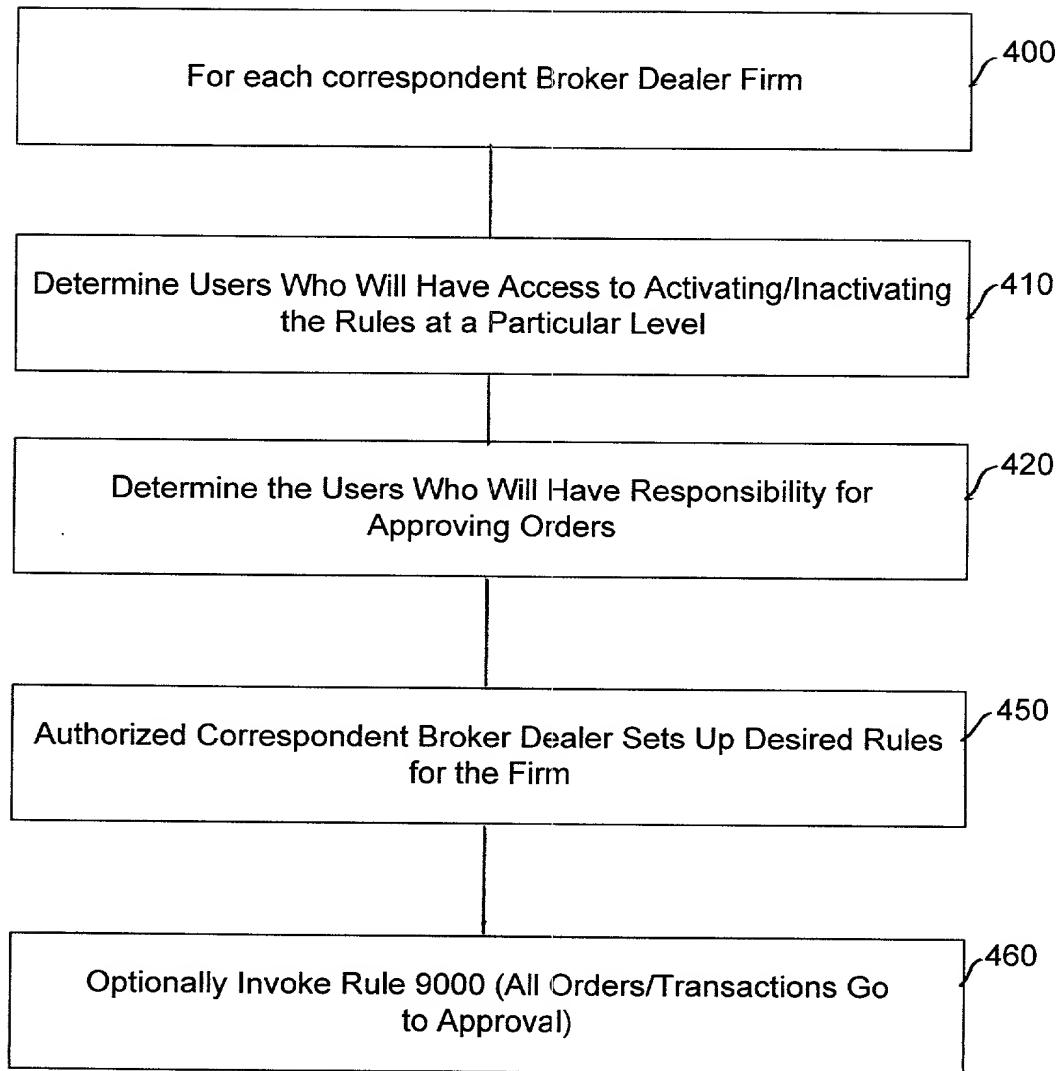


Figure 4

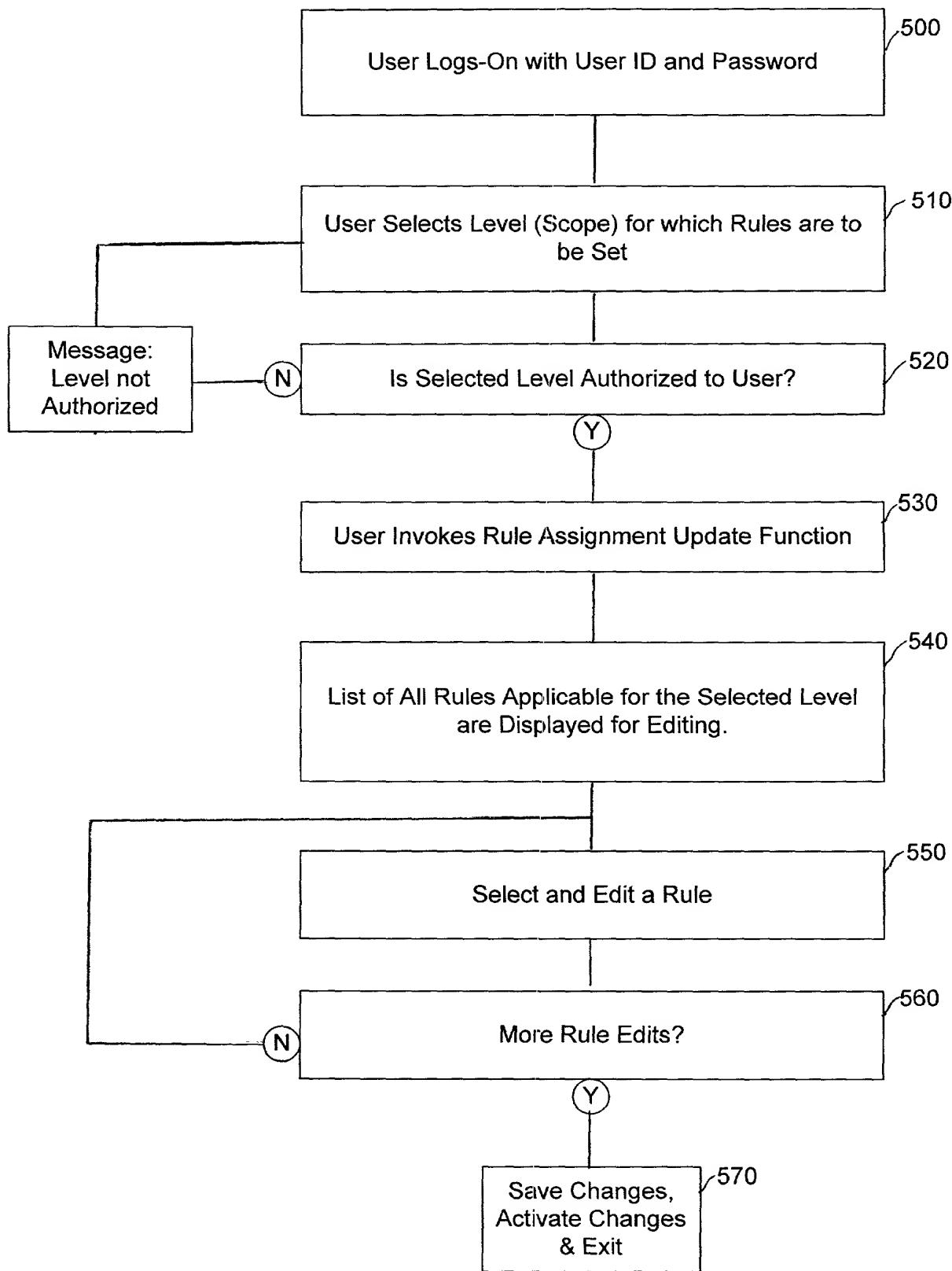


Figure 5

Rules Assignment Definition Screen

RULES ASSIGNMENT DEFINITION					01/29/99	10:21
FUNCTION: RAMN		DATA:	NEXT:			
MORE PAGES AVAILABLE						
RR:	INHERITED	OUT	RULE		PAGE	1 OF 2
ACT	RULE	CODE	CODE	RULE DESCRIPTION	PARM GROUP	
					IND	ID
P	P	S	1011	ACCOUNT CLOSE CHECK		
P	P	S	1012	ACCOUNT TRANSFER CHECK		
P	P	S	1013	ACCOUNT PENDING CLOSE		
P	P	A	1014	OPTION EXPIRATION		
P	P	A	1017	ADOPTION AGREEMENT		
P	P	S	1018	MARGIN ORDER IN RETIREM		
P	P	S	1019	SHORT SALE IN RETIREMEN		
P	P	A	1052	OPTION PAPARS OF FILE		
Y		A	1060	EQUITY SELL		
Y		A	1061	EQUITY BUY TO COVER RULE		
Y		A	1062	SELL TO CLOSE RULE		
Y		A	1063	SELL TO OPEN RULE		
Y		A	1084	BUY TO CLOSE RULE		
		A	1085	EQUITY SHORT SALE		
P	P	A	1101	MARGIN PAPERS		

Figure 6

Rules Code Definition Screen

Figure 7

12345678901234567890123456789012345678901234567890123456789012345678901234567890

G8E6 RULE PARAMETER 02/22/99 10:11 PAGE: 01
FUNC: CORR: ACCT: RR: DATA:

RULE CODE: 1141 TRADING LIMIT RULE BY DOLLAR AMOUNT

EQUITY	MUTUAL-FUNDS	OPTION	FIXED-INCOME	
PRCPL AMT - CUS	10000	50000	10000	100000
PRCPL AMT - BKR	100000	100000	50000	250000

PY: 1=HELP 3=PREVIOUS 4=UPDATE 5=CANCEL 7=LEFT 8=RIGHT

Figure 8

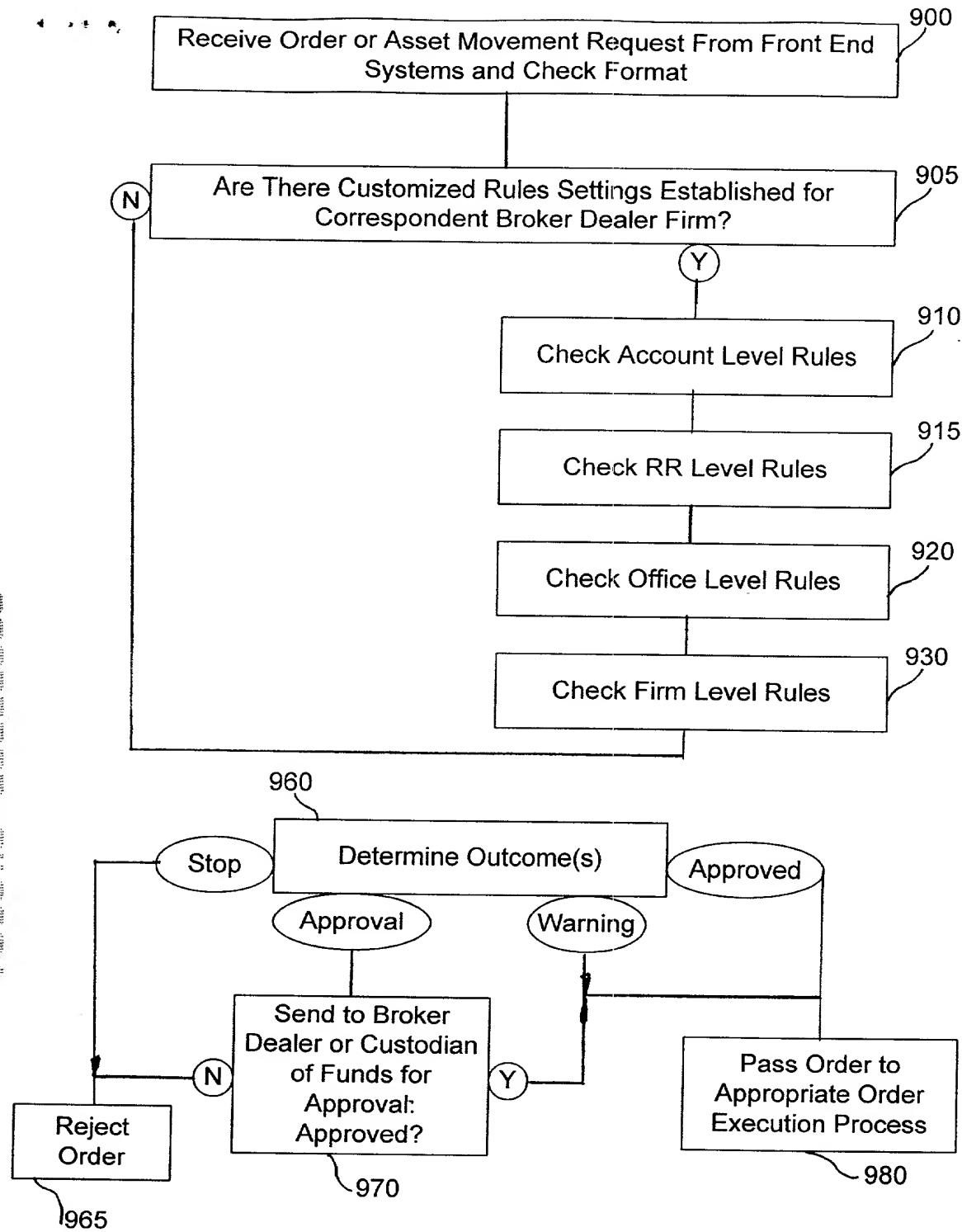


Figure 9